

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF ILLINOIS
EASTERN DIVISION

UNITED STATES OF AMERICA

v.

GREGG SMITH,
MICHAEL NOWAK, and
JEFFREY RUFFO,

Defendants.

No. 19 CR 669

Judge Edmond E. Chang

UNITED STATES' STATEMENT REGARDING GX 84 THROUGH 116

Pursuant to the Court's order during the June 2, 2022 pretrial conference, the United States hereby identifies the following subset of Government Exhibits ("GX") 84 through 116 that it intends to introduce in its case-in-chief:

- GX 84¹ (has corresponding trading episode)
- GX 86 (has corresponding trading episode)
- GX 87 (has corresponding trading episode)
- GX 89 (has corresponding trading episode)
- GX 95
- GX 96 (has corresponding trading episode)
- GX 101
- GX 103 (has corresponding trading episode)
- GX 105 (has corresponding trading episode)
- GX 107 (has corresponding trading episode)
- GX 109 (has corresponding trading episode)
- GX 112 (has corresponding trading episode)
- GX 115 (has corresponding trading episode)

¹ This list does not include .xml versions of time zone information for the Bloomberg chat of the same date, such as GX 85, 88, 90, 97, 104, 106, 108, 110, 113.

Dated: June 13, 2022

Respectfully submitted,

/s/ Lucy B. Jennings

Avi Perry

Matthew F. Sullivan

Lucy B. Jennings

Christopher Fenton

U.S. Department of Justice

Criminal Division, Fraud Section

1400 New York Ave. NW

Washington, DC 20530

(202) 305-9708

CERTIFICATE OF SERVICE

I, Lucy B. Jennings, hereby certify that on June 13, 2022, I caused the foregoing United States' Statement Regarding GX 84 through 116 to be electronically filed with the Clerk of Court by using the Court's electronic filing system, which will automatically send a notice of electronic filing to the parties who have entered an appearance in this case.

/s/ Lucy B. Jennings
Lucy B. Jennings